

# DANAMRAJ & YOUST, P.C.

ATTORNEYS AND COUNSELORS  
INTELLECTUAL PROPERTY LAW AND RELATED MATTERS

PREMIER PLACE, SUITE 1450  
5910 NORTH CENTRAL EXPRESSWAY  
DALLAS, TEXAS 75208  
(214) 750-5668 (tel)  
(214) 363-8177 (fax)

SHREEN K. DANAMRAJ  
LAWRENCE R. YOUST  
KENNETH T. EMANUELSON

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Direct Dial: (214) 363-4266  
lawrence@dy-iplaw.com

April 5, 2007

Via Facsimile 571.273.8300

Commissioner of Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Re: Serial No.: 09/663,151  
Method and System for Executing Trades in a User Preferred Security  
Examiner: Narayanswamy Subramanian  
Art Unit: 3624  
Attorney Docket No.: 1302-1001

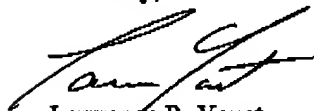
Dear Sir:

Enclosed for filing please find the following items (28 + 1 pages) relating to the above-identified application:

- (1) Response Under 37 CFR §1.111 (28 pages);

If you have any questions or comments concerning this matter, please call the undersigned at your earliest convenience. Otherwise, please accept the enclosed.

Sincerely,




Lawrence R. Youst  
Reg. No. 38,795

Enclosures

Certificate of Transmission Under 37 C.F.R. §1.8

I hereby certify that this correspondence is being transmitted by facsimile to the United States Patent and Trademark Office on April 5, 2007.



Lawrence R. Youst

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**APR 05 2007**

Attorney Docket No. 1302-1001

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In Re Application of: Bradley J. Swearingen et al.  
Serial No.: 09/663,151  
Filed: September 15, 2000  
Art Unit: 3624  
Examiner: Narayanswamy Subramanian  
For: Method and System for Executing Trades  
in a User Preferred Security

Commissioner of Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**Response Under 37 C.F.R. § 1.111**

Dear Sir:

This is a response to the Office Action dated January 5, 2007 and due for reply by April 5, 2007. In view of the following remarks, examination and allowance of the claims pending in this application is respectfully requested.

**Amendments to the Claims** are reflected in the listing of claims which begins on page 2 of this paper.

**Remarks/Arguments** begin on page 21 of this paper.